



<b>UTILITY PATENT APPLICATION TRANSMITTAL</b>  <small>(Only for nonprovisional applications under 37 CFR § 1.53(b))</small>		Attorney Docket No. <b>500390.19</b> First Inventor or Application Identifier <b>Scott E. Moore</b> Title <b>METHOD AND APPARATUS FOR MECHANICAL AND CHEMICAL-MECHANICAL PLANARIZATION OF MICROELECTRONIC SUBSTRATES</b> Express Mail Label No. <b>EL872098099US</b>	October 10, 2003 U.S. PTO 10/683972 03945
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<b>APPLICATION ELEMENTS</b> See MPEP chapter 600 concerning utility patent application contents.	<b>ADDRESS TO:</b> Mail Stop Patent Application Commissioner for Patents P.O. Box 1450 Alexandria, VA 22313-1450
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1. <input checked="" type="checkbox"/> Fee Transmittal Sheet (+ copy) <i>(Submit an original and a duplicate for fee processing)</i> 2. <input type="checkbox"/> Applicant(s) Claim(s) Small Entity Status 3. <input checked="" type="checkbox"/> Specification [Total Pages] <b>32</b> <i>(preferred arrangement set forth below)</i> - Descriptive Title of the Invention - Cross References to Related Applications - Statement Regarding Fed sponsored R & D - Reference to Microfiche Appendix - Background of the Invention - Brief Summary of the Invention - Brief Description of the Drawings (if filed) - Detailed Description - Claim(s) - Abstract of the Disclosure 4. <input checked="" type="checkbox"/> Drawing(s) (35 USC 113) [Total Sheets] <b>6</b> 5. <input checked="" type="checkbox"/> Oath or Declaration [Total Pages] <b>1</b> a. <input type="checkbox"/> Newly executed (original or copy) b. <input checked="" type="checkbox"/> Copy from a prior application (37 CFR 1.63(d)) <i>(for continuation/divisional with Box 18 completed)</i> i. <input type="checkbox"/> <b>DELETION OF INVENTOR(S)</b> Signed statement attached deleting inventor(s) named in the prior application, see 37 CFR 1.63(d)(2) and 1.33(b) 6. <input checked="" type="checkbox"/> Application Data Sheet (37 C.F.R. 1.76)	7. <input type="checkbox"/> CD-ROM or CD-R in duplicate, large table or Computer Program (Appendix) 8. <input type="checkbox"/> Nucleotide and/or Amino Acid Sequence Submission <i>(if applicable, all necessary)</i> a. <input type="checkbox"/> Computer-Readable Form (CRF) b. <input type="checkbox"/> Specification Sequence Listing on: i. <input type="checkbox"/> CD-ROM or CD-R (2 copies); or ii. <input type="checkbox"/> paper c. <input type="checkbox"/> Statement verifying identity of above copies <b>ACCOMPANYING APPLICATION PARTS</b> 9. <input type="checkbox"/> Certification Under 35 U.S.C. 122(b)(2)(B)(i) 10. <input type="checkbox"/> Assignment Papers (cover sheet & document(s)) 11. <input checked="" type="checkbox"/> 37 CFR 3.73(b) Statement <input checked="" type="checkbox"/> Power of Attorney <i>(when there is an assignee)</i> 12. <input type="checkbox"/> English Translation Document (if applicable) 13. <input checked="" type="checkbox"/> Preliminary Amendment Total Pages <b>7</b> 14. <input checked="" type="checkbox"/> Return Receipt Postcard 15. <input checked="" type="checkbox"/> Information Disclosure Statement (IDS)/PTO-1449 <b>4</b> Copies of IDS Citations 16. <input type="checkbox"/> Certified Copy of Priority Document(s) <i>(if foreign priority is claimed)</i> 17. <input checked="" type="checkbox"/> Other: <u>Certificate of Express Mail</u> <u>Check, General Authorization</u>
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18. If a <b>CONTINUING APPLICATION</b> , check appropriate box and supply the requisite information below and in a preliminary amendment <input checked="" type="checkbox"/> Continuation <input type="checkbox"/> Divisional <input type="checkbox"/> Continuation-In-Part (CIP) of prior Application No.: <u>10/167,102</u> Filed <u>June 10, 2002</u> Prior application information: Examiner <u>Dung Van Nguyen</u> Group / Art Unit <u>3723</u>	
<input checked="" type="checkbox"/> <b>Incorporation By Reference</b> (useable if box 5b is checked) The entire disclosure of the prior application, from which a copy of the oath or declaration is supplied under Box 5b, is considered to be part of the disclosure of the accompanying application and is hereby incorporated by reference therein.	

<b>CORRESPONDENCE ADDRESS</b>	
Steven H. Arterberry, Esq. Dorsey & Whitney LLP 1420 Fifth Avenue, Suite 3400 Seattle, Washington 98101-4010 (206) 903-8800 phone / (206) 903-8820 fax	
Customer No. <b>27,076</b>	
TYPED or PRINTED NAME <u>Steven H. Arterberry</u>	REGISTRATION NO. <u>46,314</u>
SIGNATURE <u>Steven Arterberry</u>	Date <u>10/9/03</u>

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant : Scott E. Moore Attorney Docket No.: 500390.19  
Filed : October 10, 2003  
Title : METHOD AND APPARATUS FOR MECHANICAL AND  
CHEMICAL-MECHANICAL PLANARIZATION OF MICROELECTRONIC  
SUBSTRATES

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**CERTIFICATE OF MAILING BY "EXPRESS MAIL"**

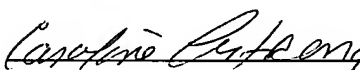
MAIL STOP PATENT APPLICATION

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Sir:

I hereby certify that the enclosures listed below are being deposited with the United States Postal Service "EXPRESS MAIL Post Office to Addressee" service under 37 C.F.R. § 1.10, Mailing Label Certificate No. EL 872098099 US, on October 10, 2003, addressed to Mail Stop Patent Application, Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

Respectfully submitted,  
DORSEY & WHITNEY LLP

  
Caroline Armstrong / for West Courier

SHA:tlm

Enclosures:

Postcard  
Check  
PTO/SB/05 Utility Patent Application Transmittal  
Application Data Sheet  
Fee Transmittal Sheet (+ copy)  
General Authorization  
Preliminary Amendment  
Copy of Specification, Claims, Abstract ( 32 pages)  
Copy of 6 Sheets of Drawings (Figures 1-6)  
Copy of Declaration  
Copy of Election and Power of Attorney  
Copy of Revocation and Substitute Power of Attorney  
Copy of Assignment  
Information Disclosure Statement and Form PTO-1449 with 4 references

<b>FEE TRANSMITTAL SHEET (FOR FY 200r)</b>		Complete if Known																																																																																																																																																																													
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1. <input checked="" type="checkbox"/> The Commissioner is hereby authorized to charge any additional fee required under 37 C.F.R. §§ 1.16 and 1.17 and 1.136(a)(3) and credit any over payments to Deposit Account No.: <u>50-1266</u> ; Deposit Account Name: <u>DORSEY &amp; WHITNEY LLP</u>		<b>3. ADDITIONAL FEES</b> <table border="1" style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th colspan="2">Large Entity</th> <th colspan="2">Small Entity</th> <th rowspan="2">Fee Description</th> <th rowspan="2">Fee paid</th> </tr> <tr> <th>Fee Code</th> <th>Fee (\$)</th> <th>Fee Code</th> <th>Fee (\$)</th> </tr> </thead> <tbody> <tr><td>1051</td><td>130</td><td>2051</td><td>65</td><td>Surcharge - Late filing fee or oath</td><td>\$</td></tr> <tr><td>1052</td><td>50</td><td>2052</td><td>25</td><td>Surcharge - late provisional filing fee or cover sheet</td><td>\$</td></tr> <tr><td>1053</td><td>130</td><td>1053</td><td>130</td><td>Non-English specification</td><td>\$</td></tr> <tr><td>1812</td><td>2,520</td><td>1812</td><td>2,520</td><td>For Filing a Request for <i>ex parte</i> Reexamination</td><td>\$</td></tr> <tr><td>1804</td><td>920</td><td>1804</td><td>920</td><td>Requesting publication of SIR prior to Examiner action</td><td>\$</td></tr> <tr><td>1805</td><td>1,840</td><td>1805</td><td>1,840</td><td>Requesting publication of SIR after Examiner action</td><td>\$</td></tr> <tr><td>1251</td><td>110</td><td>2251</td><td>55</td><td>Extension for reply within first month</td><td>\$</td></tr> <tr><td>1252</td><td>420</td><td>2252</td><td>210</td><td>Extension for reply within 2<sup>nd</sup> month</td><td>\$</td></tr> <tr><td>1253</td><td>950</td><td>2253</td><td>475</td><td>Extension for reply within 3<sup>rd</sup> month</td><td>\$</td></tr> <tr><td>1254</td><td>1,480</td><td>2254</td><td>740</td><td>Extension for reply within 4<sup>th</sup> month</td><td>\$</td></tr> <tr><td>1255</td><td>2,010</td><td>2255</td><td>1,005</td><td>Extension for reply within 5<sup>th</sup> month</td><td>\$</td></tr> <tr><td>1401</td><td>330</td><td>2401</td><td>165</td><td>Notice of Appeal</td><td>\$</td></tr> <tr><td>1402</td><td>330</td><td>2402</td><td>165</td><td>Filing a brief in support of an appeal</td><td>\$</td></tr> <tr><td>1403</td><td>290</td><td>2403</td><td>145</td><td>Request for oral hearing</td><td>\$</td></tr> <tr><td>1814</td><td>110</td><td>2814</td><td>55</td><td>Terminal Disclaimer Fee</td><td>\$</td></tr> <tr><td>1452</td><td>110</td><td>2452</td><td>55</td><td>Petition to revive – unavoidable</td><td>\$</td></tr> <tr><td>1453</td><td>1,330</td><td>2453</td><td>665</td><td>Petition to revive – unintentional</td><td>\$</td></tr> <tr><td>1501</td><td>1,330</td><td>2501</td><td>665</td><td>Utility/Reissue issue fee</td><td>\$</td></tr> <tr><td>1502</td><td>480</td><td>2502</td><td>240</td><td>Design issue fee</td><td>\$</td></tr> <tr><td>1503</td><td>640</td><td>2503</td><td>320</td><td>Plant issue fee</td><td>\$</td></tr> <tr><td>1460</td><td>130</td><td>1460</td><td>130</td><td>Petitions to the Commissioner</td><td>\$</td></tr> <tr><td>1807</td><td>50</td><td>1807</td><td>50</td><td>Processing fee under 37 CFR 1.17(q)</td><td>\$</td></tr> <tr><td>1806</td><td>180</td><td>1806</td><td>180</td><td>Submission of IDS</td><td>\$</td></tr> <tr><td>8021</td><td>40</td><td>8021</td><td>40</td><td>Recording each patent assignment per property (times number of properties)</td><td>\$</td></tr> <tr><td>1801</td><td>770</td><td>2801</td><td>385</td><td>Request for Continued Examination (RCE)</td><td>\$</td></tr> <tr><td colspan="5">Other fee (specify)</td><td>\$</td></tr> <tr> <td colspan="5" style="text-align: right;"><b>Subtotal (3)</b></td> <td><b>\$ 0</b></td> </tr> </tbody> </table>		Large Entity		Small Entity		Fee Description	Fee paid	Fee Code	Fee (\$)	Fee Code	Fee (\$)	1051	130	2051	65	Surcharge - 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Submitted by:

Name: Steven H. Arterberry	Reg. No.: 46,314	Telephone: (206) 903-8800
Signature:		Date: 10/9/03

PATENT

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

Applicant : Scott E. Moore Attorney Docket No.: 500390.19  
Filed : Concurrently Herewith  
Title : METHOD AND APPARATUS FOR MECHANICAL AND  
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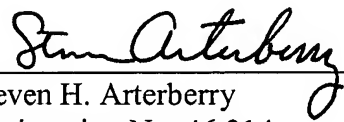
**GENERAL AUTHORIZATION**

Mail Stop Patent Application  
Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Sir:

With respect to the above-identified application, the Commissioner is authorized to charge any fees under 37 C.F.R. §§ 1.16 and 1.17 which may be required and to treat any concurrent or future reply requiring a petition for an extension of time under 37 C.F.R. § 1.136(a)(3) for its timely submission as incorporating a petition therefor for the appropriate length of time and to charge any fees which may be required during the course of prosecution, or credit any overpayment, to Deposit Account No. 50-1266.

Date 10/9/03

  
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